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ABSTRACT

In 1978 the state of New York established the Regents Competency Testing Program to ensure that all high school students would achieve a state standard of competency in reading, writing, and mathematics prior to graduation. That same year the Resource Allocation Plan was established to help schools in improving pupils' achievement in the basic skills. This manual first presents the background, governing principle, and goals of the Resource Allocation Plan, then sets forth its management system in terms of policies, roles, and procedures. Policies are numbered, listed, and explained along with the citations tracing their origin. The organizational positions are defined and their responsibilities listed under the heading of "roles." Twelve procedures list what is to be done, accompanied by the actors involved and a step-by-step list of the actions to be taken. Four different forms used in different stages of the process are included. The last section of the manual briefly outlines the information system and the evaluation design. (MLF)

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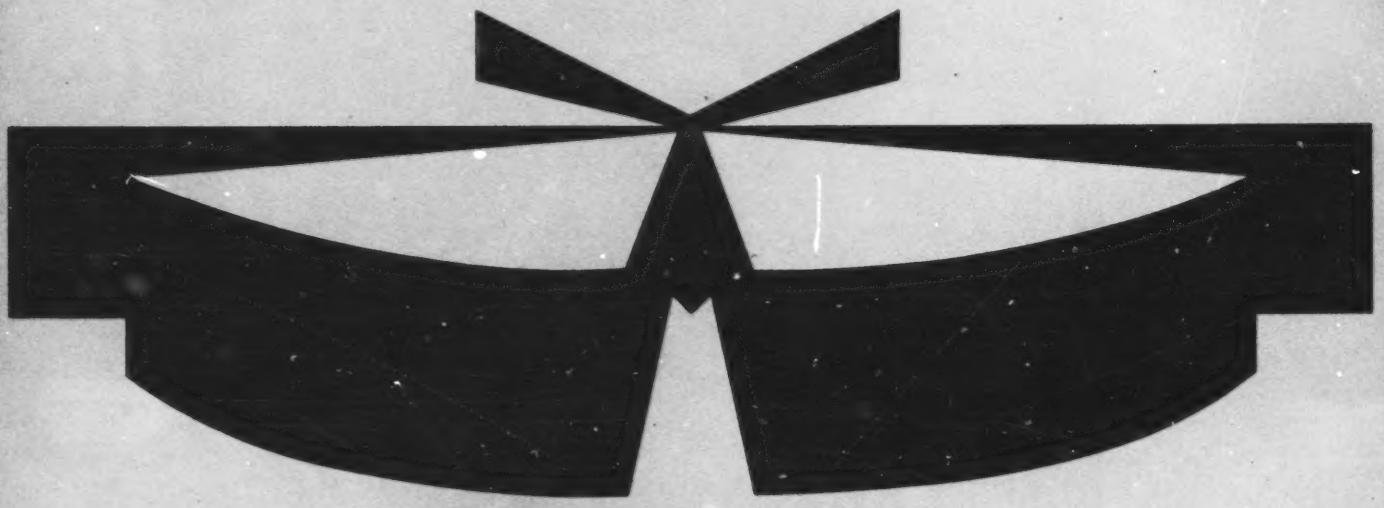

RESOURCE ALLOCATION PLAN MANUAL

EA 015 223

The University of the State of New York
The State Education Department
Albany, New York 12234
September 1982

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RESOURCE ALLOCATION PLAN MANUAL

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BACKGROUND

In 1978 the Board of Regents established the Regents Competency Testing Program to ensure that all high school students would achieve a State standard of competency in reading, writing, and mathematics prior to graduation. The Office of Elementary, Secondary, and Continuing Education recognized that substantial numbers of pupils might fail the competency tests and not graduate. The Resource Allocation Plan and the Regents New York City Project were established to help schools in improving pupils' achievement in the basic skills.

The Resource Allocation Plan began as a pilot project through which the Department worked intensively with 25 selected schools over an extended period. The project introduced the central idea of the Resource Allocation Plan: assigning of Department staff members to long-term direct working relationships with individual school building administrators and teachers.

The Commissioner recommended the Resource Allocation Plan to the Board of Regents in July 1978. During the next several months the Department established policies; determined criteria for selecting schools to be visited; reorganized elements of the Department; assigned responsibility for policies and operations; organized a Resource Allocation Plan Office; and appointed a coordinator. The Department trained a cadre of Department staff members to work directly with schools; planned the involvement of school superintendents and district superintendents in the program; and described actions to be taken through the first year of the Plan.

The Board of Regents gave the Deputy Commissioner for Elementary, Secondary and Continuing Education general responsibility for the Resource Allocation Plan. Under the reorganization of the Office of Elementary, Secondary and Continuing Education in September 1982, the State Resource Allocation Plan Coordinator reports directly to the Deputy Commissioner. The Coordinating Council, comprised of the Assistant Commissioner for General Education and the Assistant Commissioner for Planning and Support Services, reviews recommendations of the Coordinator and advises the Deputy Commissioner on major policies and actions involving the schools in the Resource Allocation Plan. Until September 1982 the Assistant Commissioner for General Education and Curricular Services directed Resource Allocation Plan activities.

The Resource Allocation Plan Steering Committee was established to guide the Plan from its inception and to advise the Coordinator. The Steering Committee comprised twenty professionals from fourteen different units in the Department. In September 1981, on the recommendation of the Steering Committee itself, this body was dissolved by the Coordinating Council as having accomplished its mission. In the future, ad hoc committees which will also include Department Representatives will be convened to advise the Coordinator on specific questions of policy and procedure.

GOVERNING PRINCIPLE

The principle governing the Resource Allocation Plan is that personnel and other resources shall be organized to accomplish the following:

> The State Education Department will ensure that changes are made to administrative, curricular, instructional, and evaluative practices in those school districts where large number of pupils do not meet standards for graduation, or where available evidence indicates large numbers will not meet these standards.*

Department activity in support of this principle will be consistent with the comprehensive aim that all pupils in New York State will acquire the basic competencies required for receipt of a high school diploma.

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*Report to the Regents, July 1978, p. 12

GOALS

1. To help the State Education Department and Local Education Agencies to identify and address problems cooperatively with the best available personnel, teaching techniques, and educational materials.

2. To coordinate the delivery of Federal, State, local, and regional resources, thereby serving the needs of local schools more effectively and efficiently.

3. To help Local Education Agencies to plan, implement, and evaluate programs which improve pupil performance.

4. To recommend changes in Department planning, operating procedures, and organization.

5. To inform District Superintendents, Boards of Education and their constituents, Superintendents, building staff members, and State Education Department personnel about the Resource Allocation Plan.

MANAGEMENT SYSTEM

POLICIES

POLICY #1: A Regulatory or Developmental Approach

The Department will determine whether a regulatory or a developmental strategy or a combination of both is appropriate for addressing a particular situation. If the objective requires compliance with law or rules, a regulatory strategy applies. If the objective involves the improvement of local capacity using the cooperative efforts of State and local agencies, a developmental strategy applies. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 14-para. 1, and p. 16 - para. 1)

POLICY #2: Building Focus

The Resource Allocation Plan focuses on individual buildings having a large proportion of pupils who are performing below the competency standard established by the Regents.

Assigning individual State Education Department staff members to individual school buildings differs from traditional practice and requires new kinds of information. A new data file for each building participating in the Resource Allocation Plan fulfills this need.

POLICY #3: An Empirical Approach

At times both Department personnel and district staffs will need considerable time to determine the nature of a school's problems. In such cases a period of trial and error precedes achievement of the desired results and necessitates careful evaluation. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 18 - item 2.)

POLICY #4: Cooperative Venture

The Resource Allocation Plan enables the State and school districts to identify problems together and to address those problems with the best available personnel, teaching techniques, and educational materials. (News release by Commissioner Ambach: December 12, 1978)

Partnerships between the Department and individual buildings will result from invitations from the Department which districts voluntarily agree to accept. The Department's purpose in all of these partnerships will be to provide service to the schools. (Resource Allocation Plan: October 1978 - March 1979)

POLICY #5: Efficient and Effective Delivery of Services

The Resource Allocation Plan is designed to:

a. Provide a better defined basis for choosing strategies that have the best likelihood of raising pupil performance.

b. Use Department staff and fiscal resources more effectively.

c. Improve the efficiency and effectiveness of delivering services to pupils.

(Report to the Regents: Proposed Resource Allocation Plan: July, 1978 - p. 5 - para. 1)

POLICY #6: Training

State Education Department staff members will be trained to assume responsibilities associated with the implementation of the Resource Allocation Plan. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 19 - item 1)

POLICY #7: Responsibilities for Resource Allocation Plan Implementation

The Deputy Commissioner for Elementary, Secondary, and Continuing Education (ESC) has overall responsibility for all phases of implementation... Maria Ramirez, Assistant Commissioner for General Education and Curricular Services, is responsible for the direction of all activities. (Progress Report: Resource Allocation Plan: September 1978 - Attachment I - p. 2 - para. 5)

Leo Soucy, Assistant Commissioner for District Organization and District Superintendents; John Murphy, Assistant Commissioner for Elementary, Secondary, and Continuing Education Planning and Support Services; and Maria Ramirez compose a Coordinating Council and cooperatively determine actions to be taken (established in November 1979).

The Resource Allocation Plan Steering Committee* shall translate Resource Allocation Plan goals into specific activities, review progress of activities in relation to the goals of the Plan, and modify and readjust activities in light of experience. (Outline of the Deputy Commissioner's Resource Allocation Plan Presentation to the Elementary, Secondary, and Continuing Education Committee of the Board of Regents: November 15, 1978 - p. 7 - sec. II C)

The Steering Committee* advises Ms. Ramirez. The Technical Assistance Project, previously included as part of the Regents "Standards and State Aid" plan, will be implemented as part of the Resource Allocation Plan. (Progress Report: Resource Allocation Plan: September 1978 - Attachment I - p. 4 - para. 1)

The purpose of the Department Representative is to improve pupils' achievement, especially in reading, written and oral communication, and mathematics, by helping the school to strengthen its programs. (The Role of the Department Representative; Resource Allocation Plan Management Manual)

POLICY #8: Reallocation of Resources

The Resource Allocation Plan will continue to be a major activity designed to improve pupil performance throughout the State by reallocating State, regional, and local resources as a means of strengthening schools' regular and remedial programs. (Regents Program Directions for Fiscal Year 1980-81, pp. 8-9)

The Department will allocate resources to insure that pupils identified through the Department's testing program as performing below acceptable standards receive the help they need. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 1 - para. 3 and Outline of the Deputy Commissioner's Resource Allocation Plan Presentation to the Elementary, Secondary, and Continuing Education Committee of the Board of Regents: November '5, 1978 - p. 1 - sec. I)

*Dissolved 9/81 to be replaced as necessary by ad hoc advisory committees

POLICY #8 (continued)

Department staff will develop unified processes for resource allocation to strengthen collective judgment, to focus Elementary, Secondary, and Continuing Education efforts, and to facilitate the reallocation of resources wherever possible to increase the effectiveness of programs. This total effort is called the Resource Allocation Plan. (Presentation to the Elementary, Secondary, and Continuing Education Committee of the Board of Regents: November 15, 1978 - p. 1 - sec. II A)

Procedures have been developed for coordinating Federal and State aid more effectively by the establishment of a unified Project Application for Compensatory Education. This replaces the separate Title I and PSEN applications used before reorganization of the two offices as the Division of Educational Opportunity Programs.

Through regular meetings of the Coordinator with the Coordinating Council, the Department will establish unified, coherent procedures for accomplishing the Regents objectives for the Resource Allocation Plan.

POLICY #9: Reorganization of Elementary, Secondary, and Continuing Education

Elementary, Secondary, and Continuing Education reorganization shall occur as required to implement the plan. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 1 - para. 3)

The application of resources to assure competency in fundamental skills must be a part of a more general effort to reorganize Department resources for serving Elementary, Secondary, and Continuing Education (ESC). (Report to the Regents: Department Priority Activities for 1978 - 79).

As staff members gain experience in the implementation of the Resource Allocation Plan, further reorganization of Elementary, Secondary, and Continuing Education may be undertaken. (Outline of the Deputy Commissioner's Presentation to the Elementary, Secondary, and Continuing Education Committee of the Board of Regents: November 15, 1978 - p. 7 - sec. II C)

A task force should be established to conduct studies of Resource Allocation Plan implementation in the context of all other Elementary, Secondary, and Continuing Education goals and priorities. This task force would have the following charge:

1. Review and critique progress.
2. Make recommendations for long-range implementation.
3. Make recommendations concerning the involvement in Resource Allocation Plan of persons from units of Elementary, Secondary, and Continuing Education other than the reorganized Office of General Education and Curricular Services.

(Progress Report: Resource Allocation Plan: September 1978 - Attachment I - pp. 5-6)

Further Elementary, Secondary, and Continuing Education reorganization will take place when the effect of this limited organizational change and of the Resource Allocation Plan itself is assessed. (Progress Report: Resource Allocation Plan: September 1978 - Attachment I - p. 11 - para. 1)

POLIC #10: Competency in Basic Skills

As its highest priority in elementary and secondary education, the Department will continue to emphasize basic skills. The Department will insure that each student upon completion of secondary school will have achieved a State standard of competence in reading, writing, and mathematics as measured by the Regents Competency Tests ...(Regents Program Directions for Fiscal Year 1980-81, pp. 8-9)

The Regents Competency Testing Program is one element of a comprehensive effort to insure that all high school graduates will have acquired these basic competencies.

In addition to the completion of certain required courses of study, a pupil must meet State standards in reading, writing, and mathematics in order to earn a high school diploma. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 1 - para. 2 and Resource Allocation Plan Presentation to the Elementary, Secondary, and Continuing Education Committee of the Board of Regents: November 15, 1978 - p. 1 - sec. I)

The Department staff will assist with local district remediation efforts. (Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 1-para. 3)

POLICY #11: Operational Changes in the Delivery of Services

The Plan requires new procedures for delivering services designed to improve the performance of pupils. Changes will include the following:

1. Local, regional, State, and other resources will be systematically organized to achieve the goal.

2. Department Representatives will be responsible for working with specific buildings or districts for an extended period. They will coordinate and direct the delivery of services to these locations.

3. Key staff members will spend a significant portion of their time working with local staff members and cooperatively determining approaches to be used.

4. Department Representatives will provide regular progress reports to be used by senior Department staff members as a basis for deciding what direction the Resource Allocation Plan should take.

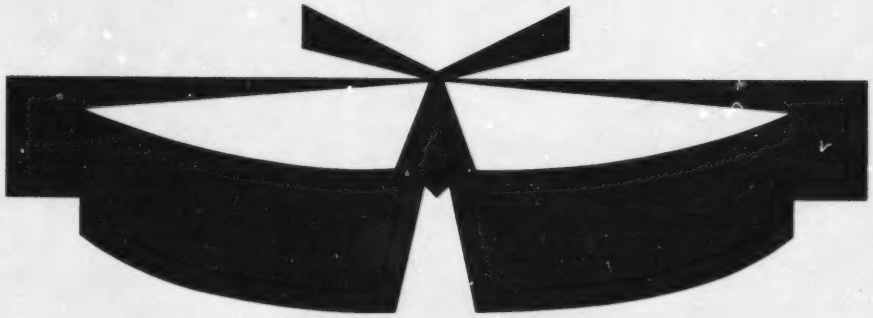
5. Requests for service and scheduled visits to districts will be coordinated to promote regional cooperation and planning and the more economical use of professional time.

6. Careful assessment of the initial reallocation of resources should determine the further redirection of the resources.

(Report to the Regents: Proposed Resource Allocation Plan: July 1978 - p. 17)

POLICY #12: District Superintendents and the Reallocation of Resources

The reallocation of existing resources must be the primary consideration in working toward solutions to the problems caused by decline. More money, in particular, cannot be viewed as a solution. Getting more out of present resources and using them more effectively, e.g., new methods of cooperation and collaboration; new approaches to organizing for instruction; and the use of technology,... are inherent in your role as a district superintendent (leadership) and for the creative role of BOCES (service agency). (Memo to District Superintendents: September 3, 1980 - p. 4).



ROLES

ROLE #1: Resource Allocation Plan (RAP) Coordinating Council

The Resource Allocation Plan Coordinating Council is composed of the Assistant Commissioner for General Education and the Assistant Commissioner for Elementary, Secondary, and Continuing Education Planning and Support Services.

The Coordinating Council decides policy and recommends policy changes to the Deputy Commissioner.

Resource Allocation Plan Coordinating Council

- Meets weekly with the Resource Allocation Plan Coordinator on all matters relating to the Resource Allocation Plan.
- Addresses all concerns presented for consideration by the Coordinator.
- Approves or disapproves procedural recommendations made by ad hoc advisory committees through the Coordinator. Decisions are forwarded to the Coordinator for appropriate action.
- Reviews policy recommendations of ad hoc advisory committees and recommends policy changes to Deputy Commissioner.
- Reviews progress and problems of the Resource Allocation Plan.
- Oversees the operation of the Resource Allocation Plan, especially in large cities.
- Meets periodically with ad hoc advisory committees and the Department Representatives to share progress and discuss problems.

ROLE #2: Resource Allocation Plan Coordinator

Under the supervision of the Deputy Commissioner for Elementary, Secondary, and Continuing Education and under the policy direction of the Coordinating Council, the Coordinator of the Resource Allocation Plan manages all activities related to the Resource Allocation Plan.

Resource Allocation Plan Coordinator

- Plans, directs, and evaluates the activities of the Resource Allocation Plan.
- Plans and directs the integrated and coordinated delivery of services to selected school districts.
- Coordinates the activities of advisory groups and working committees established to assist in the Resource Allocation Plan process.
- Meets weekly with the Coordinating Council to discuss Resource Allocation Plan policies and procedures.
- Meets with the Department management group planning Resource Allocation Plan activities in New York City.
- Meets with all units in the Office of Elementary, Secondary, and Continuing Education, District Superintendents, and Resource Allocation Plan Consortium Coordinators.
- Provides for statewide dissemination of information on the Plan through attendance at conferences and workshops, and through the publication of reports and other descriptive materials.
- Meets with ad hoc advisory committees to discuss administrative procedures and policy for presentation to the Coordinating Council.
- Administers and coordinates other activities related to the Resource Allocation Plan.

ROLE #3: Resource Allocation Plan Office

The Resource Allocation Plan Office staff manage, coordinate, and document all Resource Allocation Plan activities.

Resource Allocation Plan Office Staff

- Maintain a system which documents Plan activities, including visitations, registration, Department Representative schedules and reports, delivery of services, use of outside resources, and problems encountered. Communications and data entering the information system are reviewed and disseminated as appropriate.

- Communicate with all units in the Department; document contact between these units and Resource Allocation Plan districts; and collect, review, and disseminate reports.

- Arrange for and document delivery of services with Department Representatives and Department service bureaus.

- Collect, review, analyze, and document reports of the activities of Department Representatives.

- Document all requests for technical assistance to Resource Allocation Plan schools.

- Disseminate information among District Superintendents, Consortium Coordinators and Executive Committees, Department Representatives and other field representatives, ad hoc advisory committees, and the Coordinating Council.

- Establish working groups to handle tasks, plan agenda for these groups, and disseminate their reports.

- Plan, schedule, document, and evaluate the continuous training program for Resource Allocation Plan personnel.

- Schedule and chair training and information seminars for Department Representatives.

- Maintain and augment a reference and resource library; review current literature and disseminate pertinent articles; subscribe to selected educational journals; and maintain files of such journals for use by Department Representatives.

- Report progress and problems regularly to the appropriate ad hoc advisory committee(s) and the Coordinating Council through the Coordinator.

- Represent the Department at conferences, workshops, and conventions to discuss the purposes, goals, and progress of the Plan.

- Prepare, distribute, and keep current the directory of Department and other resources and programs related to Resource Allocation Plan activities.

ROLE #3 (continued)

- o Produce and keep current the Resource Allocation Plan Manual with policies, procedures, and roles for dissemination to District Superintendents, Consortium staffs, and State Education Department personnel.

- o Prepare and disseminate brochures and other descriptive materials on the Plan.

- o Implement other activities related to the Resource Allocation Plan.

ROLE #4: Resource Allocation Plan Ad Hoc Committees

The Resource Allocation Plan Coordinator may appoint at his discretion ad hoc advisory committees to recommend the development of policies and procedures, the solution of problems, and the application of districts to participate in the Resource Allocation Plan. Members of an ad hoc advisory committee should include Department Representatives and other Department personnel with the specific experience and expertise necessary to deal with the issue under discussion.

Resource Allocation Plan Ad Hoc Advisory Committees

- Recommend policy to the Coordinating Council.
- Recommend administrative procedures for the Resource Allocation Plan and other related activites to the Coordinating Council.
- Identify problems and recommend solutions.
- Review applications from districts requesting entrance into the Resource Allocation Plan and make recommendations.

ROLE #5: Resource Allocation Plan Department Representative

The Department Representative helps the school strengthen its program in order to improve pupils' achievement, especially in the areas of reading, written and oral communication, and mathematics. This process may extend over a period of years, if necessary.

Resource Allocation Plan Department Representative

- Helps the local school's staff to identify major priorities, delineate problems within these priorities, identify alternative solutions to these problems, implement appropriate solutions, and evaluate the process and the results.

- Serves as a communication link between the school district and the Department.

- Cooperates with the chief school officer, District Superintendent, and the Resource Allocation Plan Consortium Coordinator in all matters concerned with the Plan.

- Establishes and sustains a working relationship with supervisors, department heads, teachers, parents, community leaders, and pupils within the school or school district.

- Cooperates with the Resource Allocation Plan Office staff and other Department colleagues in all matters concerned with the Plan.

ROLE #6: District Superintendent

Each District Superintendent helps to communicate the purposes of the Resource Allocation Plan to school districts. The District Superintendent collaborates with colleagues in the Department to provide resources to meet needs of school districts.

The District Superintendent

- Represents the Commissioner in the field.
- Consults with Superintendents of Schools on district needs and Plan activities.
- Helps Resource Allocation Plan schools to carry out Plan-related activities.
- Helps school districts to obtain BOCES, multi-BOCES and other resources.
- Helps school districts to reallocate existing resources, including BOCES, multi-BOCES and other resources.
- Provides consultative services to Department Representatives.
- Serves on the Executive Committee of the Regional Resource Allocation Plan Consortium.
- Screens requests of districts to join the Plan.

ROLE #7: Resource Allocation Plan Consortia

To implement the Resource Allocation Plan, five Consortia of BOCES were organized to cover the State outside New York City. Each Consortium serves a designated multi-BOCES region and is governed by an Executive Committee composed of member District Superintendents, Diocesan Superintendents, and Superintendents of schools in the Big Four Cities in consortia whose regions contain such cities.

Resource Allocation Plan Consortium

- Designates a BOCES as the administering local educational agency in each region. This BOCES is responsible for the day-to-day management of the Consortium operations.

- Serves as the Executive Committee legally responsible for program and fiscal operations for the projects among the member BOCES and all school districts in each of the enlarged multi-BOCES regions (Education Law, sec., 1950).

- Manages the program and fiscal administration of the respective multi-BOCES region through the designated administering LEA-BOCES.

- Develops a multi-BOCES management system which delineates criteria and guidelines for administering the Resource Allocation Plan and describes problems which should be the Consortium's highest priorities.

- Reviews all proposals submitted by Resource Allocation Plan schools and recommends proposals for funding to the Department.

ROLE #8: Resource Allocation Plan Consortium Coordinator

Each Resource Allocation Plan Consortium has a Consortium Coordinator who serves as the manager for Consortium activities.

Resource Allocation Plan Consortium Coordinator

- Helps local schools to prepare Resource Allocation Plan proposals.
- Helps local schools to implement and monitor Resource Allocation Plan proposals.
- Maintains close communication and working relationships with Department Representatives in the Consortium's region.
- Helps with the delivery of regional resources to Resource Allocation Plan schools and districts, when requested.
- Helps with the coordination of Resource Allocation Plan activities within the region, when requested.
- Serves as the Executive Committee's staff under the direction of the District Superintendent of the responsible LEA-BOCES.

PROCEDURES

PROCEDURE #1: Developing Procedures as Needed

ACTOR	ACTION
Coordinator*, Steering Committee and Department Representative	1. Determine need for a written procedure.
	2. Request help from the Office of Elementary, Secondary, and Continuing Education Planning and Support Services to develop a procedure.
Planning and Support Services	3. Clarify problem with the Coordinator.
	4. Raise key questions.
Coordinator	5. Obtains directions from the Coordinating Council.
Coordinator and Planning and Support Services	6. Develop tentative procedure.
	7. Identify appropriate existing policy or develop new policy.
Coordinator	8. Reviews draft procedure with Department Representatives.
	9. Reviews draft procedure with appropriate ad hoc advisory committee.
	10. Modifies draft procedure based on review and sends to Coordinating Council.
Coordinating Council	11. Reviews recommended procedure and modifies as necessary.
	12. Returns procedure to Coordinator with approval or rejection. If disapproved, returns to Step 10 of this procedure.
Coordinator	13. If approved, disseminates procedure to ad hoc advisory committee, Department Representatives, District Superintendents, Consortium Coordinators, and the Coordinating Council.
	14. Enters procedures in the Resource Allocation Plan Management Manual.

*Resource Allocation Plan Coordinator unless otherwise noted.

PROCEDURE #2: Delivery of Services

SECTION I
SHORT-TERM SERVICES

ACTOR	ACTION
Coordinating Council, Coordinator*, ad hoc advisory committee, or the Resource Allocation Plan Office	1. Recommends that short-term services be provided to a school or district based on a recommendation from the Steering Committee, the Division of School Supervision or a Department Representative**. Ordinary requests for short-term service are handled by the Coordinator.
Resource Allocation Plan Office	2. Contacts program offices, District Superintendents' offices, outside resources, etc., to negotiate for service to be rendered. This may take any of several forms: direct service by the Department, referral to the District Superintendent, a conference or workshop for a region encompassing the district involved, or a recommendation to apply to other resources, such as the National Diffusion Network System. Another possibility would be to tie into another district which is offering a similar program and from whose experience the client's district could profit.
	3. Negotiates details of date, time, and personnel; forwards information to all parties concerned and keeps a log of such actions. All correspondence related to services to be rendered will be copied to the District Superintendent and the program office(s) involved.
	4. On the date that service is to be rendered, checks to see if the service is ready.
	5. Seeks a formal or informal evaluation of the service.
	6. Records evaluation of the service once it has been delivered. If service was not satisfactory, the Resource Allocation Plan Office is responsible for determining and recommending action.

*Resource Allocation Plan Coordinator unless otherwise noted.

**The Department Representative assists the Resource Allocation Plan Office in the steps outlined.

PROCEDURE #2 (continued)

7. Carries out follow-up 60 to 90 days after service has been rendered: (a) if the service has been inadequate, provides further service or recommends other action and (b) if the service was satisfactory to the recipients, further evaluation will determine whether it helped to improve pupil performance.

Coordinator

8. Analyzes the services requested and informs the Coordinating Council of trends. This will give the Council a basis for modifying policy.

SECTION II
LONG-RANGE ACTION

ACTOR		ACTION
District Superintendent	1.	Recommends to the Resource Allocation Plan Coordinator the districts for long-range involvement and assignment of a Department Representative.
Coordinator	2.	Presents request to the appropriate ad hoc advisory committee.
Ad Hoc Advisory Committee	3.	Reviews request of the District Superintendent and forwards its recommendation to the Coordinating Council through the Coordinator.
Coordinating Council	4.	Reviews request and forwards its recommendation to the Deputy Commissioner.
Deputy Commissioner	5.	Makes final decision on districts for inclusion in the Resource Allocation Plan and forwards decision to the Coordinator via the Coordinating Council.
Coordinator	6.	Transmits decision to the ad hoc advisory committee.
	7.	Assigns Department Representative in consultation with the Coordinating Council.
Coordinator and Department Representative	8.	Review recommendation and establish priorities and procedures for initial contacts.
Department Representative and Resource Allocation Plan Office	9.	Collect information about school district.
Coordinator	10.	Coordinates the meeting with the Local and District Superintendents to establish a working relationship and the basis for a planning process with the Department Representative.
Department Representative	11.	Establishes a relationship with staff members and school administrators.
	12.	Helps each school to form a planning group whose goal is the development of a written plan for that school.
	13.	Determines what factors the local staff and administrators see as influencing pupil performance.
	14.	Determines what remedial measures have been taken, which have been successful, which have failed, and the reasons for success or failure as perceived locally.

15. Helps local teachers, supervisors, and administrators to identify strengths and weaknesses.

16. Assists local administrators and staff members to define their goals and objectives in measurable terms and to establish priorities.

17. In cooperation with local administrators and staff, decides on activities, establishes time lines, and identifies people who will be responsible for completing specific steps which comprise the written plan for the school.

18. In cooperation with local administrators and staff, determines what resources will be needed and how they can be obtained — locally, regionally, through the Department, or elsewhere.

19. Identifies any short-term and long-range services and works out details with the Resource Allocation Plan Office as in Section I of this document.

    a. Provides the Resource Allocation Plan Office with an evaluation of service rendered.

    b. Helps district in follow-up service.

    c. Continues to evaluate the effect of service on achieving long-range goals.

20. Makes certain that the need for evaluation is recognized locally and that adequate provision for measuring accomplishment of goals and objectives is built into the plan.

21. Documents carefully all Department activities on behalf of the participating district during this entire process.

22. Reports to the Resource Allocation Plan Office every two weeks or more often as the situation requires.

PROCEDURE #3: Registration and the Resource Allocation Plan Process

ACTOR	ACTION
Division of School Supervision	1. Selects secondary schools for registration visits.
	2. Visits schools as part of registration. If all registration standards are met, or if any problems are corrected within four weeks, the Division will notify the superintendent that the Department will recommend registration to the Regents.
	3. Requires an action plan for the school, if problems require more than four weeks for correction, specifying problems to be resolved, actions to be taken, and the date by which resolution of each problem is expected to be accomplished.
	4. Reviews and approves the plan. If the school needs technical assistance to develop or implement the plan, the Division will ask the Resource Allocation Plan Office to provide such assistance.
	5. Forwards a request for technical assistance to the Resource Allocation Plan Coordinator with a copy of the plan.
Resource Allocation Plan Coordinator	6. Determines whether assistance is appropriate and makes recommendations to the Coordinating Council.
Coordinating Council	7. Directs the Coordinator to provide technical assistance, if required, through the Resource Allocation Plan service delivery process (See Procedure #2 - Section I.)
Division of School Supervision	8. Monitors short-term remedial measures until accomplishment of the plan. Submits interim reports, if appropriate, and files copies of the final registration reports with the Resource Allocation Plan Office.
	9. May recommend to the Coordinator the assignment of a Department Representative, through the Resource Allocation Plan Office, if deficiencies require a long-term relationship.

PROCEDURE #3 (continued)

Resource Allocation Plan Coordinator	10. Presents request to an ad hoc advisory committee.
Ad Hoc Advisory Committee	11. Reviews request of the Division of School Supervision and forwards its recommendations to the Coordinating Council through the Coordinator.
Coordinating Council	12. Reviews request and forwards its recommendations to the Deputy Commissioner.
Deputy Commissioner	13. Makes final decision on districts for inclusion in the Resource Allocation Plan and forwards decision to the Coordinator via the Coordinating Council.
Coordinator	14. Transmits decision to the ad hoc advisory committee.
	15. Assigns Department Representative in consultation with the Coordinating Council.
Resource Allocation Plan Office	16. Supervises and helps the Department Representative to carry out long-range action outlined in Procedure #2, Section II.
Division of School Supervision	17. Monitors implementation of the school's plan through periodic visits and progress reports until closure. Provides the Resource Allocation Plan Office with copies of all progress reports.

PROCEDURE #4: Documentation of Department Representative Activities and Follow-up Evaluation

ACTOR	ACTION
Department Representative	1. Documents all communications with the assigned district. Maintains a daily log recording contacts, dates, time, and a synopsis (optional). Sends copies of the log for the most recent period, or an abstract, to the Resource Allocation Plan Office - (optional).
Department Representative and Resource Allocation Plan Office	2. Send copies of all correspondence to the District Superintendent for his/her district.
Department Representative	3. Sends copies of all correspondence with the district to the Resource Allocation Plan Office.
	4. Reports all activities related to the Resource Allocation Plan districts and schools. Includes purposes of the activity, name of other people involved, a summary of the activity, follow-up, and outcomes. (Report of Department Representative Activities attached)
	5. Documents all requests from the school for technical assistance. (Request for Technical Assistance by Department Representative attached).
Service Unit Staff	6. Submits to the Resource Allocation Plan Office a report of technical assistance provided to the district. (Technical Assistance Report for a Department Representative School/ District attached).
Department Representative	7. Follows up on technical assistance after it has been provided. (Follow-up to Technical Assistance by the Department Representative is attached). Makes recommendations for further activities as necessary.
	8. Plans and conducts a follow-up sixty days after delivery of service.
All Department Units	9. Share all communication with a Resource Allocation Plan district with the appropriate Department Representative and the Resource Allocation Plan Office. Also, document outcomes of all activities.
	10. Submit visitation schedule for the coming month on the 15th of the preceding month to the Resource Allocation Plan Office.

Resource Allocation Plan
Report of DR Activities

Type of Activity: _____ Date: _____

School: _____ Department Representative: _____

District: _____ Supervisory District: _____

Purposes of activity: (attach any appropriate documents)

Other people involved: (attach additional page, if necessary)

Name	Position

Summary of activity: (attach details when necessary)

Outcomes of activity:

Follow-up activities with target dates:

Other comments:

Resource Allocation Plan
Request for Technical Assistance By a DR
(Please complete one sheet for each request)

Date: _____

School: _____ Department Representative: _____

District: _____ Supervisory District: _____

1. Describe the technical assistance being requested:

2. Explain the reasons for the request:

3. Describe the tentative objectives or expected outcomes:

4. Requested dates for initial contact (in order of preference):

   a.

   b.

   c.

5. Additional comments:

For Office Use Only _____

Date technical assistance delivered: _____

Date report of technical assistance received: _____

Resource Allocation Plan
Technical Assistance Report
For a DR School/District

Person Providing Service: _____ Date: _____

Instructions: This form should be completed by each person who provides technical assistance to a school, a district, or a region.

School: _____ Department Representative: _____

District: _____ Supervisory District: _____

Purpose:

Specific objectives:

(1)

(2)

(3)

Outcome - (Objectives reached, not reached, altered) Explain:

Follow-up activities - with target dates - by whom:

How can the value of this assistance be assessed?:

Other comments:

Resource Allocation Plan
Follow-up to Technical Assistance
By The DR

Date: _____

School: _____ Department Representative: _____

District: _____ Supervisory District: _____

Technical assistance provided:

Recommendations for further activities:

Comments:

PROCEDURE #5: Schools Seeking Entry Into the Resource Allocation Plan for Assistance and Services*

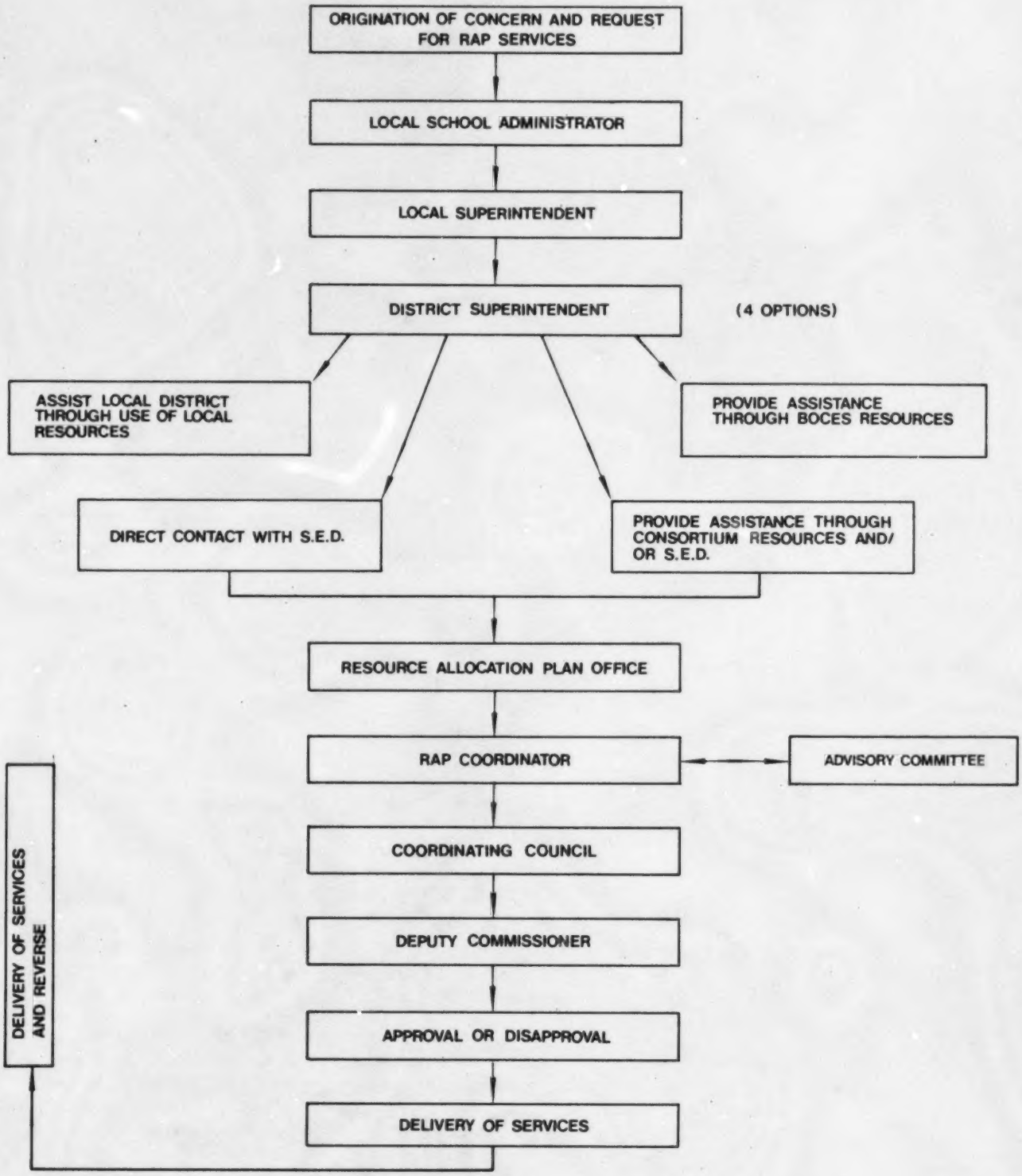
ACTOR	ACTION
Local School Administrator	1. Documents need for special assistance.
	2. Directs request to the Local Superintendent.
Local Superintendent	3. Attempts to meet need with local resources.
	4. Requests assistance from the District Superintendent, if the need cannot be met locally.
District Superintendent	5. Reviews documented request and attempts to meet the need using any of the following options:
	a. Assists the local district through local resources.
	b. Provides assistance through BOCES resources.
	c. Provides assistance through Consortium resources.
	d. Requests assistance from the Coordinator**, if the need cannot be met regionally.
Coordinator	6. Presents request to an ad hoc advisory committee.
Ad Hoc Advisory Committee	7. Reviews request of the District Superintendent and forwards its recommendation to the Coordinating Council through the Coordinator.
Coordinating Council	8. Reviews request and forwards its recommendation to the Deputy Commissioner.
Deputy Commissioner	9. Makes final decisions on districts for inclusion in the Resource Allocation Plan and forwards decision to the Coordinator via the Coordinating Council.
Coordinator	10. Transmits decision to the ad hoc advisory committee.
	11. Assigns Department Representative in consultation with the Coordinating Council.
	12. Informs the District Superintendent and the Local Superintendent of the decision.

*Schematic attached

**Resource Allocation Plan Coordinator unless otherwise noted.

ATTACHED SCHEMATIC TO PROCEDURE 5

COMMUNICATION SYSTEM: "SCHOOLS SEEKING ENTRY INTO THE RESOURCE ALLOCATION PLAN FOR ASSISTANCE AND SERVICES"



PROCEDURE #6: Request for Technical Assistance from a Resource Allocation Plan School District with No Department Representative

ACTOR	ACTION
Local Superintendent	1. Determines a district need independently or through a local school administrator.
	2. Develops a plan for meeting the need with local resources.
	3. Requests assistance from the District Superintendent if the need cannot be met with local resources.
District Superintendent	4. Reviews the request and considers available resources.
	5. Requests assistance from the Resource Allocation Plan Consortium, if appropriate.
	6. Requests assistance from the Resource Allocation Plan Office, if regional resources are not available.
Resource Allocation Plan Coordinator	7. Reviews request and documentation to determine if all local and regional resources have been considered.
	8. Contacts the appropriate program office to negotiate the delivery of services as provided in Procedure #2: Delivery of Services.

PROCEDURE #7: Visits by Elementary, Secondary, and Continuing Education Staff to Resource Allocation Plan Schools with No Department Representative

ACTOR	ACTION
Deputy Commissioner for Elementary, Secondary, and Continuing Education	1. Distributes a list of Resource Allocation Plan school districts and buildings to all staff in Elementary, Secondary, and Continuing Education. (Memo 11/15/79)
Elementary, Secondary, and Continuing Education Staff	2. Notify the Resource Allocation Plan Office before making visit.
	3. Send a brief report of each visit to the Resource Allocation Plan Office for filing.
Resource Allocation Plan Office	4. Enters reports into the Resource Allocation Plan Information System.

PROCEDURE #8: Request for Technical Assistance From a District to Which Department Representative Has Been Assigned

ACTOR	ACTION
Deputy Commissioner for Elementary, Secondary, and Continuing Education	1. Distributes a list of Department Representatives and the districts to which they have been assigned. (Memo 11/15/79)
Elementary, Secondary, and Continuing Education Staff	2. Receive a request for technical assistance from a school district to which a Department Representative has been assigned.
	3. Consult with Resource Allocation Plan Office and Department Representative.
Resource Allocation Plan Office, Department Representative, and Elementary, Secondary, and Continuing Education Program Office	4. Determine the need for assistance and its appropriateness.
	5. Determine Department capability to deliver assistance.
Elementary, Secondary, and Continuing Education Program Office	6. Delivers technical assistance, if appropriate.
	7. Completes appropriate forms for technical assistance delivery. (See Procedure #4: Documentation of Department Representative Activities and Follow-up Evaluation)
	8. Submits reports to the Resource Allocation Plan Office.
Resource Allocation Plan Office	9. Enters reports into the Resource Allocation Plan Information System.

PROCEDURE #9: Planning a Monitoring Visit to a District to Which a Department Representative Has Been Assigned

ACTOR	ACTION
Deputy Commissioner for Elementary, Secondary, and Continuing Education	1. Distributes a list of Department Representatives and the districts to which they have been assigned. (Memo 11/15/79)
Elementry, Secondary, and Continuing Education Staff	2. Plan a monitoring visit to a school district to which a Department Representative has been assigned.
	3. Discuss visit with Department Representative and the Resource Allocation Plan Office.
Department Representative and Resource Allocation Plan Office	4. Make recommendations for visit, if necessary.
Elementary, Secondary, and Continuing Education Staff	5. Schedule monitoring visits.
	6. Notify the Resource Allocation Plan Office and Department Representative.
	7. Conduct monitoring visits.
	8. Send a brief report of the visit to the Resource Allocation Plan Office and the Department Representative.
Resource Allocation Plan Office	9. Enters report into the Resource Allocation Plan Information System.

PROCEDURE #10: Department Representatives Dealing With the News Media

ACTOR	ACTION
Department Representative	1. Keeps current on the Resource Allocation Plan and how it works: o in State Education Department o in the schools and districts o with ESEA Title II Basic Skills support o with the Resource Allocation Plan Consortia
Local Superintendent and Department Representative	2. Discuss dealing with the media. Establish general ground rules. 3. Conduct joint interviews, if possible.
Department Representative	4. Answers broad questions about the Resource Allocation Plan, if acceptable to the Local Superintendent. 5. Summarizes own experience in education and emphasizes role as a helping generalist rather than an expert in mathematics, reading, etc., if appropriate. 6. Directs questions about the district's internal affairs to the Local Superintendent.

PROCEDURE #11: Modifying and Developing Policy as Needed for the Resource Allocation Plan

ACTOR	ACTION
Coordinator*	1. Reviews existing policy statements periodically and determines the need for modification or development of new policy.
Coordinator and Planning and Support Services	2. Determine whether there is a need to modify existing policy or develop new policy.
Coordinator	3. Discusses with an ad hoc advisory committee the need for modifying policy or for creating new policy, when necessary.
Ad Hoc Advisory Committee	4. Recommends consideration of a policy by the Coordinating Council.
Coordinator	5. Presents recommendations to the Coordinating Council and establishes need for modification or development of policy.
Coordinating Council	6. Modifies or develops policy, if need is established.
	7. Seeks approval of the Deputy Commissioner, if appropriate.
Coordinator	8. Disseminates approved policy to the ad hoc advisory committee, Department Representatives, District Superintendents, Consortium Coordinators and all Resource Allocation Plan districts and schools.
Resource Allocation Plan Office Staff	9. Enter policy statement in the Resource Allocation Plan Management Manual.

*Resource Allocation Plan Coordinator unless otherwise noted.

PROCEDURE #12: Termination of Department Representative Services

ACTOR	ACTION
District Superintendent and Department Representative	1. Meet with local administrators to review evidence of school/district having satisfactorily accomplished its Resource Allocation Plan objectives.
District Superintendent with assistance of the Local Administrator and Department Representative	2. Sends written request for termination of Department Representative services and supporting documentation to Resource Allocation Plan Coordinator.
Coordinator	3. Presents documents to an ad hoc advisory committee for its recommendation.
Ad Hoc Advisory Committee	4. Reviews request and forwards its recommendation to the Coordinating Council through the Coordinator.
Coordinating Council	5. Reviews request and forwards its recommendation to the Deputy Commissioner.
Deputy Commissioner	6. Makes final decision on termination of Department Representative services and forwards decision to the Coordinator via the Coordinating Council.
Coordinator	7. Transmits decision to the ad hoc advisory committee and Department Representative.
Deputy Commissioner	8. Notifies the school district administrator and the District Superintendent of termination of Department Representative services.
Department Representative	9. Completes any necessary documentation and forwards it to the Resource Allocation Plan Office.
Resource Allocation Plan Office	10. Documents termination of Department Representative services on all appropriate records.

INFORMATION SYSTEM

INFORMATION SYSTEM

The Resource Allocation Plan Office serves as the information center for Plan activities. It is responsible for maintaining communication with and among Department personnel, District Superintendents, Consortium Coordinators, Superintendents of Schools, educational organizations, and the public.

The Resource Allocation Plan Office provides information on Resource Allocation Plan activities through:

- Dissemination of materials to Department Representatives, ad hoc advisory committee members, and other Department staff.
- Dissemination of summaries of ad hoc advisory committee meetings, Department Representative meetings and Resource Allocation Plan working committees.
- Presentations at State and regional conferences.
- Presentations for individual Resource Allocation Plan school districts.
- Distribution of a Resource Allocation Plan brochure and of the Resource Allocation Plan Manual.
- Individual letters, calls and visits.
- Occasional bulletins and newsletters.
- State Education Department staff orientation meetings.
- Submission of materials for the Deputy Commissioner's monthly report to the Board of Regents and for "Inside Education."

EVALUATION DESIGN

EVALUATION DESIGN

The 1982-83 RAP Evaluation design comprises three components:

- o Evaluation of Selected RAP Processes
- o Evaluation of Selected RAP Outcomes
- o Evaluation of Title IV-C Proposals and their Respective Subgrants

The following RAP groups will be assessed as to how each has operated during 1982-83.

- o Department Representatives
- o RAP Program Office
- o District Superintendents
- o LEA Superintendents and Staffs
- o LEA Building Principals and Staffs

The purpose of the assessment procedures is twofold:

1. Policy - to determine the success of the program as measured against the objectives and to test the validity of policy and assumptions underlying the program.

2. Operation - to determine the need for immediate and ongoing change to make the program run successfully.

The procedures are designed to gather information regarding the function of RAP groups in terms of the following criteria:

- a. effectiveness
- b. degree of satisfaction
- c. degree of involvement
- d. interaction among various constituencies
- e. benefits vs. problems
- f. time and cost
- g. congruence of conceptual role vs. actual role
- h. student performance